

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility ApplicationsPATENT  
APPLICATION**COMPLETION Under**  
Rule 53(f)In re PATENT APPLICATION of

Inventor(s): UEMURA et al.

Attn: Application Division

Appln. No.: 09	935,699	Atty.Dkt. P	282892	T36-135964M/KOH
Series Code ↑	Serial No. ↑		M#	Client Ref

Filed: August 24, 2001

Title: METHOD FOR MANUFACTURING A GROUP III NITRIDE COMPOUND SEMICONDUCTOR DEVICE

Hon. Commisioner of Patents  
Washington,DC 20231

Date: October 3, 2001



Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☐ Signed Declaration attached. ☐ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☐ Abstract
- b. #  pages of Specification(only spec. & claims)
- c. ☐ Drawing(s) ☐ Fig(s).
- No of Sheets

4. ☒ Letter filing formal drawing attached.
5. ☐ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

8.

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	



9. \_\_\_\_\_ (No.) Certified copy (copies): \_\_\_\_\_ ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / filed on \_\_\_\_\_
10. Small Entity Status ☐ ☐ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee . . . . . Design Application				\$330/\$165		106/26
Not Design Application				\$740/\$370	+0	101/201
14. Total Effective Claims	10	minus 20 =	0	x \$18/\$9	+0	103/203
15. Independent Claims	3	minus 3 =	0	x \$84/\$42	+0	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$280/\$140	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+0	105/205
18. FILING FEE ENCLOSED =				\$		
19. Original due date: November 25, 2001						
20. Petition is hereby made to extend the original due date to cover the date this response is filed for which the requisite fee is attached				(1 mo) \$110/\$55 =	+0	115/215
				(2mos) \$400/\$200 =		116/216
				(3mos) \$920/\$460 =		117/217
				(4mos) \$1,440/\$720 =		118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee. . . . .				\$40	+0	581
23. Petition Fee for				\$130	+0	
24. TOTAL FEE ENCLOSED =				\$		

Our Deposit Account No. 03-3975

Our Order No. 51273

282892

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP  
Intellectual Property Group**

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By Atty: John P. Darling

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Atty/Sec: JPD/tmt

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION of

UEMURA et al.

Appln. No.: 09/935,699

Filed: August 24, 2001



Confirmation No.: 9658

Group Art Unit: 1733

Examiner: ~~Unassigned~~

FOR: METHOD FOR MANUFACTURING A GROUP III  
NITRIDE COMPOUND SEMICONDUCTOR DEVICE

\* \* \* \*

October 3, 2001

SUBMISSION OF FORMAL DRAWINGS

Hon. Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

Sir:

Submitted herewith are 4 sheets of formal drawings containing Figures 1-4 for the  
above-identified application in response to the Notice to File Corrected Application Papers  
dated September 25, 2001.

Respectfully submitted,  
Pillsbury Winthrop LLP

By: John P. Darling  
John P. Darling  
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Tel. No.: (703) 905-2045  
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JPD:tmt  
Attachment:  
Formal Drawings (Figs. 1-5)

1600 Tysons Boulevard  
McLean, VA 22102  
(703) 905-2000

SAH  
#3  
3-11-02

0955699-100301

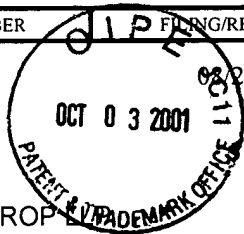


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/935,699	09/24/2001	Toshiya Uemura	P 282892 T36-135964M/KOH

00909  
PILLSBURY WINTHROP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102



CONFIRMATION NO. 9658  
FORMALITIES LETTER



\*OC000000006787535\*

Date Mailed: 09/25/2001

NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - Drawings must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.

*A copy of this notice **MUST** be returned with the reply.*

*SA*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

00935699-100301